NOTTINGHAM TRENT UNIVERSITY

SCHEME OF DELEGATION

Introduction

The purpose of this document is to record where the authority rests within the University for particular types of decision made in the name of or on behalf of the University.

No such schedule can be absolutely comprehensive, but in addition to explicitly locating the locus of authority for specific categories of decision, the schedule also forms a frame of reference through which questions about other types of decision may be resolved (further questions should be referred to the University Secretary).

Note that the schedule only purports to identify responsibility for the final ("ratification") stage of decision-making and not, for example, responsibility for formulating strategic, policy and business proposals (which typically lies with the University Executive Team ("UET").

Framework and Principles of Delegation

1. As the Governing Body of the University, and as prescribed by the University's Instrument and Articles of Government the Board of Governors is responsible for:

   - the determination of the educational character and mission of the University and for oversight of its activities;
   - the effective and efficient use of resources, the solvency of the University and the Corporation and for safeguarding their assets;
   - approving annual estimates of income and expenditure;
   - the appointment, performance review, suspension, dismissal and determination of the pay and conditions of service of the Vice-Chancellor and of the Clerk; and
   - setting a framework for the pay and conditions of service of all other staff.

   The Pro-Chancellor and Chair of the Board shall have the power to act on behalf of the Board of Governors in matters of urgency subject to the action being recorded to the Board at its next meeting.

   Additionally a sub-group of the Board of Governors may be convened to progress urgent matters as may be required where it has not been possible to discuss or provide the requisite approval at a Governing Body or at a sub-committee meeting. It is not expected that any such sub-group would include the Chair of the Audit and Risk Management Committee in order to preserve the scrutiny role of that Committee. Any action taken should be communicated to the full Board of Governors and recorded formally at its next meeting.

2. The Board of Governors may establish committees for any purpose or function and may delegate power to such committees or to the Pro-Chancellor and Chair of the Board or the Vice-Chancellor. The Board of Governors cannot delegate decisions on the following matters:

   - the determination of the educational character and mission of the University;
   - the approval of the annual estimates of income and expenditure;
   - ensuring the solvency of the University and the Corporation and the safeguarding of their assets;

- the appointment of the Vice-Chancellor and the Clerk; and
- proposals to vary or revoke the University's Articles of Government.

3. The Board of Governors has established the following committees whose terms of reference are available on the University's website :
   - Academic Assurance and Regulation Committee (AARC);
   - Audit and Risk Management Committee (ARMC);
   - Employment Policy Committee (EPC);
   - Finance and Resources Committee (FRC).
   - Membership and Nominations Committee (MNC); and
   - Remuneration Committee (RemCo).

4. Subject to the overall responsibility of the Board of Governors and to the responsibilities of the Vice-Chancellor, the Academic Board is the academic authority of the University and is responsible for general issues relating to the research, scholarship, teaching and courses at the University, including criteria for the admission of students; the appointment and removal of internal and external examiners; policies and procedures for assessment and examination of the academic performance of students; the content of the curriculum; academic standards and the validation and review of courses; the procedures for the award of qualifications and honorary academic titles; and the procedures for the expulsion of students for academic reasons. Such responsibilities shall be subject to the requirements of validating and accrediting bodies.

5. The Academic Board has established the following sub-committees:
   - Academic Standards and Quality Committee;
   - Awards and Titles Committee;
   - University Internationalisation Committee; and
   - University Research and Innovation Committee;

   With the exception of the Awards and Titles Committee, each of these sub-committees also has a reporting structure of sub-committees.

6. Subject to the responsibilities of the Board of Governors, the Vice-Chancellor shall be the Chief Executive of the University, and shall be responsible to the Board of Governors for the conduct of the University including:
   - making proposals to the Board of Governors about the educational character and mission of the University, and for implementing the decisions of the Board of Governors;
   - the organisation, direction and management of the University and leadership of the staff;
   - the appointment, assignment, grading, performance review, suspension, dismissal, and determination - within the framework set by the Board of Governors - of the pay and conditions of service of staff;
   - the determination, after consultation with the Academic Board, of the University's academic activities, and for the determination of its other activities;
   - preparing annual estimates of income and expenditure, for consideration by the Board of Governors, and for the management of budget and resources, within the estimates approved by the Board of Governors; and

- the maintenance of student discipline and, within the rules and procedures provided, for the suspension or expulsion of students on disciplinary grounds and for implementing decisions to expel students for academic reasons.

7. The Vice-Chancellor may delegate responsibility for specific aspects of the University's operations to members of the University Executive Team (UET) but retains ultimate responsibility for their work.

8. Members of UET are responsible to the Vice-Chancellor for the leadership and overall management of their respective portfolios. Members of UET may delegate responsibility for specific aspects to colleagues but retain ultimate responsibility for the management of their areas. UET has approval authority within its terms of reference and helps shape, discuss, oversee the implementation of strategic decisions.

9. The membership of UET comprises the Vice-Chancellor (Chair), Deputy Vice-Chancellor and Provost, Chief Operating Officer and Registrar, Pro Vice-Chancellor (Research and International); Pro Vice-Chancellor (Education); Chief Financial Officer; and the Chief People Officer. Membership may change from time to time. The University Secretary (or deputy) is in attendance. Support to the University Executive Team is provided by the Governance Services Team.

10. Extended UET (EUET) comprises all members of UET together with the School Executive Deans; Executive Deans by portfolio; NTSU President; Executive Director for Research, Knowledge Exchange and Innovation; Executive Director for Education, Quality and Partnerships; Executive Director for Libraries and Digital Services; Executive Director for Estates and Campus Services; and the Executive Director for Communications, Alumni Relations, Marketing and Student Recruitment. Membership may change from time to time. This group has approval authority within its terms of reference and helps shape, discuss, and oversee the implementation of strategic decisions. Support to EUET is provided by the Governance Services Team.

11. The University Shadow Executive Team (USET) provides collective advice and guidance to EUET regarding largely the same agenda items that are received at EUET through the lens of equality, diversity and inclusion. USET is chaired by the Deputy Vice-Chancellor and Provost and each member of USET is partnered with a member of EUET. This is not a decision-making body. Support to USET is provided by the Governance Services team.

12. School Executive Teams (SETs) provide a forum for ensuring implementation of university wide policies, and for local school matters to be discussed, agreed and documented.

13. The Senior Leaders Forum comprises senior colleagues from across the University - both from the academy and professional services and provides a forum to share knowledge and insight, to collaborate on the development and delivery of strategic initiatives, to problem-solve, and to determine key information and messages for onward sharing with teams. SLF does not have decision making authority but is consulted on key issues affecting the University.

14. The Strategic Initiatives Board (SIB) approves new strategic initiative requests and oversees delivery and performance of the Strategic Initiatives portfolio. The SIB is the single senior-level board responsible for the assessment, approval, and oversight of strategic initiatives and reports into EUET. It reviews requests and recommendations that meet its criteria, applies the agreed assessment criteria, and acts within its delegated authority (set out separately in this Scheme of Delegation) to approve or otherwise such requests and allocate resources. It also ensures that

revenue and capital expenditure for strategic initiatives complies with the University's Scheme of Delegation.

The SIB has responsibility for the assessment and oversight functions previously undertaken by the Estates Development Board, Digital Portfolio Board, and the Strategic Projects Group. It also replaces the process for the management of requests for funding from the Strategic Initiatives Fund. Its membership is as follows:

- Deputy Vice-Chancellor, Chair;
- Chief Operating Officer and Registrar;
- Pro Vice-Chancellor, Research and International;
- Pro Vice-Chancellor, Education;
- Chief Financial Officer;
- Chief People Officer;
- Executive Dean*;
- Executive Dean*;
- NTSU President; and

*Executive Dean membership is on a rolling basis of a one year term

The SIB is supported also by the following Advisory members:

- Executive Director of Libraries and Digital Services (L&D);
- Executive Director of Estates and Campus Services ; and
- Director of Strategic Policy and Projects

15. The Estates and Campus Services and the Libraries and Digital Services directorates will determine any local oversight arrangements for routine operational, maintenance activity and any projects specific to their respective teams that do not meet the criteria for consideration by the SIB.

16. Except as otherwise provided, individuals and bodies in whom authority is invested by this Scheme of Delegation may further delegate to others provided that such further delegation is documented and consistent with the financial regulations.

The University Almanac document provides further information including Terms of Reference and contact details.

Sealing Regulations

1. All documents to be signed as a Deed require the application of the Corporation Seal.

2. The application of the Corporation Seal shall be authenticated by any two members of the Board of Governors (at least one member shall not be a Staff or Student Governor).

3. Any document put forward for sealing must be supported by a completed Certification of Sealing Form (available from Governance Services – email). The Corporation Seal shall be kept in the custody of the University Secretary and shall only be affixed in the presence of the University Secretary or an officer nominated by the University Secretary. Each sealing shall be recorded in the Sealing Register of the University and reported to the Board of Governors at each of its meetings.

Format of the Scheme

The table below outlines the decision-making authorities across the University:

TABLE OF AUTHORITY AND DELEGATIONS

		Final Authority	Delegated Authority (if any)	Delegated limits, Process and Context
1	**Governance, Management and Control**			
	Amendments to the Instruments and Articles of Government	Office for Students		Any proposed amendments would be directed to the Office for Students following approval by UET and the Board of Governors.
	Amendments to the Standing Orders for the Board of Governors	Board of Governors		Any proposed amendments would be directed to the Board of Governors following approval by UET and/or Academic Board.
	Execution of the ceremonial responsibilities of the Chancellor	Chancellor	Vice-Chancellor; Pro-Chancellor; Deputy Vice-Chancellor and Provost; Pro-Vice Chancellors; Chief Operating Officer and Registrar (in the capacity of Registrar).	Ceremonial responsibilities of the Chancellor can be further delegated on an exceptional basis to such others as may be agreed by UET and Academic Board.
	Execution of the responsibilities of the Vice-Chancellor	Vice-Chancellor	Deputy Vice-Chancellor and Provost/ Chief Operating Officer and Registrar	The Vice-Chancellor will nominate the Chief Operating Officer and Registrar or the Deputy Vice-Chancellor and Provost to exercise such functions of the Vice-Chancellor, as may be appropriate. UET shall collectively advise the Vice-Chancellor in the exercise of their responsibilities (undertaking individual responsibility where requested). During any vacancy in the office of the Vice-Chancellor, the Pro-Chancellor and Chair of the Board of Governors will nominate an appropriate interim Vice-Chancellor (and Accountable Officer for the purposes of the Office for Students) and seek approval from the Board of Governors accordingly.

		Final Authority	Delegated Authority (if any)	Delegated limits, Process and Context
	Execution of responsibilities of the Board of Governors and its sub-committees	Board of Governors	The Pro-Chancellor and Chair of the Board of Governors or the Chair of a sub-committee of the Board of Governors may take separate Chair's action on behalf of the Board of Governors or on behalf of the sub-committee in urgent matters where it has not been possible to discuss at a Governing Body or at a sub-committee meeting. Additionally a sub-group of the Board of Governors may be convened upon the authority of the Board to progress urgent matters as may be required where it has not been possible to discuss or provide the requisite approval at a Governing Body or at a sub-committee meeting. It is not expected that any such Sub-group would include the Chair of the Audit and Risk Management Committee in order to preserve the scrutiny role of that Committee. Any action taken should be communicated to the full Board of Governors and recorded formally at its next meeting.	The execution of responsibilities of the Board of Governors are to be in accordance with the Instrument and Articles of Government, its Standing Orders and the Terms of Reference of its supporting committees.

		Final Authority	Delegated Authority (if any)	Delegated limits, Process and Context
	Execution of responsibilities of the Pro-Chancellor and Chair of the Board of Governors	Pro-Chancellor and Chair of the Board of Governors	Deputy Pro-Chancellor and Deputy Chair of the Board	
	Execution of responsibilities of the Academic Board and its sub-committees	Academic Board	The Vice-Chancellor may take separate Chair's action on behalf of the Academic Board in urgent matters where it has not been possible to discuss at an Academic Board meeting. This action must be reported at the next Academic Board meeting. Designated alternate members are approved in respect of individual memberships.	The execution of responsibilities of the Academic Board are to be in accordance with the Instrument and Articles of Government and the Terms of Reference of its supporting committees.
	Execution of responsibilities of UET	UET	UET may delegate specific functions within its terms of reference to colleagues. However, ultimate responsibility for the delivery rests with the UET member.	The execution of responsibilities of UET are to be in accordance its Terms of Reference.
	Execution of responsibilities of the University Secretary and Clerk to the Board	University Secretary and Clerk to the Board	Governance Services Manager/Deputy Clerk to the Board for governance related responsibilities only.	The University Secretary and Clerk to the Board has nominated the Governance Services Manager/ Deputy Clerk to the Board to exercise the functions of the Clerk to the Board if required.
	Execution of the responsibilities of the Executive Deans of schools	Executive Deans	Deputy Deans or Associate Deans for Research or Practice	The Deputy Dean may exercise any of the functions of the Executive Dean either at their request, in their absence or during a vacancy.

		Final Authority	Delegated Authority (if any)	Delegated limits, Process and Context
	Maintenance of the Register of Interests	University Secretary and Clerk to the Board of Governors	Governance Services Manager	Each year Governance Services will ask all Governors, Co-opted committee members, members of UET, EUET and SLF to complete/update a Declaration of Interests form. This is also a "live" document and interests should be recorded as they emerge. This information is shared with the Chief Financial Officer to ensure that conflicts of interest in any tendering exercises are managed. A separate process exists regarding the management of conflicts of interest within procurement exercises.

		Final Authority	Delegated Authority (if any)	Delegated limits, Process and Context
	Decisions relating to Freedom of Speech and Academic Freedom or policies and procedures that have an impact on freedom of speech including academic freedom.	University Secretary	The University Secretary will work with Chairs of Committees or individuals within the University responsible for: • Admission, Appointment, reappointment and promotions processes; • Disciplinary processes; • Employment contracts; • EDI; • Fitness to Practise; • Harassment and Bullying policies; • IT policies and processes; • Prevent duty; • Principles of Curricular design; • Research Ethics; • Speaker Events; and • Staff and Student Codes of Conduct	All decisions that are likely to have a substantial (positive or negative) effect on freedom of speech within the law should be discussed in advance by the relevant Committee Chair with the University Secretary and a record of the decision maintained, before this is implemented. All policies or procedures that have an impact on freedom of speech including academic freedom should be discussed and approved by the University Secretary before these are implemented. These records should demonstrate how the University has had particular regard for the importance of freedom of speech within the law when making the decision/drafting the policy/procedure/guidance. Where reasonably practicable such records should be kept as long as is reasonably necessary to be available for external review.

		Final Authority	Delegated Authority (if any)	Delegated limits, Process and Context
2	**Strategy and Policy Approvals** *(*see also section 1 of this Scheme of Delegation where a policy may have an impact on freedom of speech/academic freedom)*			
	Approval of the University's Strategy	Board of Governors		The University Strategy to be proposed by the Vice-Chancellor to the Board of Governors. Academic Board, UET, SLF and colleagues at the University will be consulted as required.
	Approval of the Annual Accountability Returns to the Office for Students	Board of Governors		Directed to the Board of Governors via ARMC/FRC in accordance with their terms of reference and led by the Vice-Chancellor and appropriate members of UET.
	Approval of the Risk Management Framework	Board of Governors	Audit and Risk Management Committee	Directed to ARMC following UET approval and led by the Chief Operating Officer and Registrar.
	Approval of the Risk Management Policy	Audit and Risk Management Committee		Directed to ARMC following UET approval and led by the Chief Operating Officer and Registrar.
	Approval of Disciplinary Policy; Grievance Policy; Improving Performance Policy; Managing Sickness Absence Policy; Redundancy Policy; Pension Opt Out Arrangements Policy; Staff and Students Intimate Personal Relationship Policy; Equality, Diversity and Inclusion Policy; Dignity and Respect Policy; and Trans Inclusion Policy	Employment Policy Committee		The preparation of these policies will be led by the Chief People Officer and be directed to the EPC following approval at UET.
	Approval of University Executive Team Remuneration Policy	Remuneration Committee		The preparation of this policy will be led by the Chief People Officer
	Approval of Code of Practice on Freedom of Speech and Academic Freedom	Board of Governors		Consultation on revisions to the policy will be led by the University Secretary together with Nottingham Trent Students' Union and be directed to the Board of Governors following approval by UET and shared with the Prevent Steering Group.

		Final Authority	Delegated Authority (if any)	Delegated limits, Process and Context
	Approval of Anti-Bribery Act Policy	Board of Governors		Consultation on revisions to the policy will be led by the University Secretary and the Chief Financial Officer and be directed to the Board of Governors after approval of UET and ARMC.
	Approval of Conflict of Interest Policy	Board of Governors		Consultation on revisions to the policy will be led by the University Secretary and be directed to the Board of Governors after approval of UET and ARMC.
	Approval of Acceptance of Philanthropic Gifts and Donations Policy	Board of Governors		Consultation on revisions to the policy will be led by the Chief Financial Officer and be directed to the Board of Governors after approval of UET
	Approval of Health and Safety Policy	Board of Governors		Consultation on revisions to the policy will be led by the Chief People Officer and be directed to the Board of Governors after approval of UET and ARMC.
	Approval of Public Interest (Whistleblowing) Policy	Audit and Risk Management Committee		Consultation on revisions to the policy will be led by the University Secretary and be directed to ARMC after approval of UET.
	Approval of Gifts and Hospitality Policy	Audit and Risk Management Committee		Consultation on revisions to the policy will be led by the University Secretary and be directed to ARMC after approval of UET.
	Approval of Counter Fraud Policy	Audit and Risk Management Committee		Consultation on revisions to the policy will be led by the University Secretary and the Chief Financial Officer and be directed to ARMC after approval of UET.
	Approval of Anti Money Laundering and Counter Terrorism Financing Policy	Audit and Risk Management Committee		Consultation on revisions to the policy will be led by the University Secretary and the Chief Financial Officer and be directed to ARMC after approval of UET.
	Approval of Treasury Management Policy	Finance and Resources Committee		The preparation of this policy will be led by the Chief Financial Officer.

		Final Authority	Delegated Authority (if any)	Delegated limits, Process and Context
	Approval of other corporate policies	UET		The preparation of other University wide policies will be led by the respective area and be subject to approval by UET.
	Approval of research related policies	Academic Board	University Research Committee in accordance with its Terms of Reference	Consultation on revisions to research related policies will be led by the PVC (Research and International) and/or the Executive Director for Research, Knowledge Exchange and Innovation and either be approved by Academic Board or be reported to Academic Board if approval of the policy was in accordance with the Terms of Reference of the University Research Committee.
	Approval of academic and student related policies	Academic Board	Academic Standards and Quality Committee in accordance with its Terms of Reference	Consultation on revisions to academic or student related policies will be led by either the Deputy Vice-Chancellor and Provost; the Executive Director for Registry, Student and Course Administration; or the Executive Director for Education, Quality and Partnerships and either be approved by Academic Board or reported to Academic Board if approval of the policy was in accordance with the Terms of Reference of the Academic Standards and Quality Committee.
	Approval of NTU Further Education and Skills Self-Assessment Report	Academic Standards and Quality Committee		This is reviewed annually and reported to ASQC for approval following consideration at the Apprenticeship Portfolio Subcommittee. Following approval by ASQC the report is then to be shared with Academic Board and with AARC to provide assurance over this type of provision and to provide opportunity for broader discussion on FE provision. This is expected to be in the March series of governance meetings.

		Final Authority	Delegated Authority (if any)	Delegated limits, Process and Context
3	**Appointments and Employment related Matters**			
	Appointment of the Chancellor	Board of Governors	Chancellor Search Committee	A Chancellor Search Committee will be convened to oversee the arrangements and nomination process and recommend the appointment to the Board of Governors.
	Appointment of the Vice-Chancellor	Board of Governors	Vice-Chancellor Appointment Committee	A Vice-Chancellor Appointment Committee will be convened to oversee the appointment process and recommend the appointment to the Board of Governors.
	Suspension, Discipline and Dismissal of the Vice-Chancellor	Board of Governors	Suspension: Pro-Chancellor and Chair of the Board of Governors or the Deputy Pro-Chancellor and Deputy Chair of the Board of Governors Dismissal: Special Committee comprising three Independent members of the Board of Governors	In accordance with the provisions set out in the University's Standing Orders.
	Appointment and dismissal of Independent and co-opted members of the Board of Governors and its supporting committees	Board of Governors	Membership and Nominations Committee (MNC)	The MNC will oversee the appointment process and recommend appointments and any dismissals to the Board of Governors.
	Appointment of Senior Post Holders	Vice-Chancellor	Appointment Panel	In accordance with HR Recruitment Process.
	Appointment of Executive Deans/Deputy Deans /Associate Deans for Research or Practice	Vice-Chancellor	Appointment Panel	In accordance with HR Recruitment Process.
	Appointment of Executive Directors	Chief Operating Officer and Registrar	Appointment Panel	In accordance with HR Recruitment Process.
	Appointment of the University Secretary and Clerk to the Board of Governors	Board of Governors		The Clerk to the Board post at NTU is combined with that of the University Secretary and is a post that reports to the Chief Operating Officer and Registrar. An appointment requires the approval of the Board of Governors in accordance with the

		Final Authority	Delegated Authority (if any)	Delegated limits, Process and Context
				provisions of the Instrument of Government.
	Suspension, Discipline and Dismissal of the University Secretary and Clerk to the Board of Governors	Board of Governors	Suspension: Pro-Chancellor and Chair of the Board of Governors or the Deputy Pro-Chancellor and Deputy Chair of the Board of Governors Dismissal: Special Committee comprising three Independent members of the Board of Governors	In accordance with the provisions set out in the University's Standing Orders and reflecting the University's HR practices.
	Appointment of Professors	UET	Professorial Appointment Panel	The Professorial Appointment Panel will oversee the appointment process and recommend appointments to the Vice-Chancellor. The Panel will operate in accordance with HR recruitment processes for both internal and external appointments.
	Appointment of Honorary, Visiting and Emeritus Professors	Academic Board	Awards and Titles Committee	The Awards and Title Committee will report its decisions to UET and Academic Board.
	Appointment of Visiting and Senior Visiting Fellows	Academic Board	Awards and Titles Committee	The Awards and Title Committee will report its decisions to UET and Academic Board.
	Award of Honorary Degrees/Awards	Academic Board	Awards and Titles Committee	The Awards and Title Committee will report its decisions to UET and Academic Board. Such decisions will also be reported to the Board of Governors for information.
	Award of Outstanding Alumni and Industry Fellow Award	Academic Board	Awards and Titles Committee	The Awards and Title Committee will report its decisions to UET and Academic Board.
	Appointment of Internal Auditors	Board of Governors		Directed to the Board of Governors via ARMC in accordance with its terms of reference.

		Final Authority	Delegated Authority (if any)	Delegated limits, Process and Context
	Appointment of External Auditors	Board of Governors		Directed to the Board of Governors via ARMC in accordance with its terms of reference.
	To approve the salaries and note the performance reviews of the Vice-Chancellor and Senior Post Holders	Remuneration Committee		The preparation of documentation connected to the salary and performance review of the Vice-Chancellor will be led by the Pro-Chancellor and Chair of the Board of Governors together with the Chief People Officer and Head of Reward. All information related to the Vice-Chancellor's salary and performance together with expenses is published on the University website. The preparation of documentation connected to the salaries and performance reviews of the Senior Post Holders will be led by the Vice-Chancellor. An annual report from the Remuneration Committee is published on the University website.
	To review the salaries and note the performance reviews of UET members not classed as Senior Post Holders	Remuneration Committee		The preparation of documentation connected to the salaries and performance reviews of those members of UET not classed as Senior Post Holders will be led by the Chief Operating Officer and Registrar.
	To review the general approach to remuneration for the Professoriate and members of the Senior Leaders Forum	Remuneration Committee		The preparation of documentation connected to the general approach to remuneration for the School Executive Deans will be led by the Deputy Vice-Chancellor and Provost. Subject to the above, the preparation of documentation connected to the general approach to remuneration for the Professoriate and members of the SLF will be led by the Chief People Officer.

		Final Authority	Delegated Authority (if any)	Delegated limits, Process and Context
	To review the general approach to remuneration for the remaining workforce	Remuneration Committee		The preparation of documentation connected to the general approach to remuneration for the remaining workforce will be led by the Chief People Officer.
	Approval of implementation of the national and/or local pay award	UET		In considering the national pay awards UET will take into account advice provided by UCEA.
	Approval of external consultancy by University employees	Executive Dean of the School, Executive Director of relevant Professional Services Department	For Schools: Deputy Dean of the School	In accordance with the University's Consultancy policy and Spin Out Company policy.

		Final Authority	Delegated Authority (if any)	Delegated limits, Process and Context
4	**Contracts for Academic provision**			
	Approval for validation service arrangements, collaborative delivery with Associate Colleges and other external partners	Academic Board	Academic Standards and Quality Committee following recommendations from its Academic Partnerships Sub-Committee	The Education, Quality and Partnerships (EQP) Directorate is to be fully involved in all such proposals and the Deputy Vice-Chancellor and Provost to be consulted on all such proposals as required. A summary of any high risk collaborative teaching provision to be provided to the Academic Assurance and Regulation Committee to ensure that Governors receive appropriate oversight of academic activity at the University. The Executive Dean for the relevant School is to be consulted on and approve all such proposals. NTU Global/international team within EQP is to be consulted on international collaborations and will manage the business evaluation process leading to their approval or otherwise. Finance Business Partners are to be consulted on associated financial terms and due diligence assessments. Legal Services is to be consulted on the due diligence assessments and the resulting contractual documentation.
	Signing of contracts for proposed validation service arrangements, collaborative delivery and franchise arrangements with UK only partners	To be signed by Pro Vice-Chancellor (Education) for UK partners		
	Signing of contracts for proposed validation service arrangements, collaborative delivery and franchise arrangements with international partners	To be signed by Pro Vice-Chancellor (Research and International)		

		Final Authority	Delegated Authority (if any)	Delegated limits, Process and Context
	Approval of contracts for the delivery of Dual, Joint or Double Degree PhD programmes with UK only and non UK partners	Academic Board	University Research Committee or University Research Degrees Committee	The Education, Quality and Partnerships (EQP) Directorate is to be fully involved in all such proposals and the Deputy Vice-Chancellor and Provost be consulted on all such proposals as required. A summary of any high risk provision to be provided to the Academic Assurance and Regulation Committee to ensure that Governors receive appropriate oversight of academic activity at the University. The Executive Dean for the relevant School is to be consulted on and approve all such proposals. NTU Global/international team within EQP is to be consulted on international proposals and will manage the business evaluation process leading to their approval or otherwise. Finance Business Partners are to be consulted on associated financial terms and due diligence assessments. Legal Services is to be consulted on the due diligence assessments and the resulting contractual documentation.
	Signing of resulting contractual documentation for the delivery of Dual, Joint or Double Degree PhD programmes with UK only partners	To be signed by Pro Vice-Chancellor (Education) for UK partners	None	
	Signing of resulting contractual documentation for the delivery of Dual, Joint or Double Degree PhD programmes with international partners	To be signed by Pro Vice-Chancellor (Research and International)	None	

		Final Authority	Delegated Authority (if any)	Delegated limits, Process and Context
	Approval of Progression, Articulation and Distance Delivery Arrangements	Academic Board	Academic Standards and Quality Committee	The Education, Quality and Partnerships Directorate (EQP) is to be fully involved in all such proposals and the Deputy Vice-Chancellor and Provost be consulted on all such proposals as required. A summary of any high risk provision to be provided to the Academic Assurance and Regulation Committee to ensure that Governors receive appropriate oversight of academic activity at the University. The Executive Dean for the relevant School is to be consulted on and approve all such proposals. The international/NTU Global team within EQP is to be consulted on international proposals and will manage the business evaluation process leading to their approval or otherwise. Finance Business Partners are to be consulted on associated financial terms and due diligence assessments. Legal Services is to be consulted on the due diligence assessments and the resulting contractual documentation.
	Signing of resulting contractual documentation for Progression, Articulation and Distance Delivery Arrangements with UK only partners	To be signed by pro Vice-Chancellor (Education) for UK partners	None	
	Signing of resulting contractual documentation for Progression, Articulation and Distance Delivery Arrangements with international partners	To be signed by Pro Vice-Chancellor (Research and International)	None	
	Student Exchange Agreements- New and Renewals	Pro Vice-Chancellor (Research and International)	Executive Dean for Research and International Reputation; or Director, NTU Global	

		Final Authority	Delegated Authority (if any)	Delegated limits, Process and Context
5	**Budgetary, Banking and Financial Matters**			
	Approval of systems of internal financial management, control and accountability, including risk management, financial regulation and financial procedures	Board of Governors	FRC, ARMC (depending on Terms of Reference)	Process will be led by the Chief Financial Officer in accordance with the Financial Regulations and approved by UET.
	Approval of annual Financial Statements/accounts	Board of Governors		The preparation of the annual financial statements will be led by the Chief Financial Officer and be directed to the Board of Governors following approval by UET and ARMC.
	Signing of annual audited Financial Statements/accounts	Pro Chancellor and Chair of the Board of Governors and the Vice-Chancellor (as Accountable Officer)		Signature following approval by UET, ARMC and the Board of Governors.
	Approval of annual budgets (including capital programme) and forecasts	Board of Governors		The preparation of the annual budget proposals will be led by the Chief Financial Officer and be routed to the Board of Governors following approval by UET and FRC.
	Approval of School and Professional Service budget allocations	UET		The preparation of the annual budget proposals for each School and Professional Service will be led by the Chief Financial Officer and the Chief Operating Officer and Registrar and are subject to approval by UET.
	Approval of appointment of bankers	Board of Governors		Directed to the Board of Governors via FRC in accordance with its terms of reference. Appointments are to be recommended by the Chief Financial Officer and approved by UET.

		Final Authority	Delegated Authority (if any)	Delegated limits, Process and Context
	Opening of bank accounts, designation of University bank account signatories	Vice-Chancellor and the Pro-Chancellor and Chair of the Board of Governors are required to approve the opening of a University bank account Chief Financial Officer approval is required for the opening of a subsidiary company bank account		The Chief Operating Officer and Registrar and the Chief Financial Officer are designated bank account signatories. The process is to be managed in accordance with the University's Treasury Management Policy.
	Approval of Treasury Management policies relating to borrowings, endowments and other investments	Board of Governors is responsible for approving a treasury management policy for cash management, long term investments and borrowings		The FRC is responsible for monitoring and reviewing the implementation of the policy. The Chief Financial Officer is to approve decisions on the investment of surplus revenue cash balances in accordance with the Treasury Management Policy.
	Power to act in respect of debt whether or not related to a property transaction	Over £10,000,000: Board of Governors	In exceptional circumstances, such as urgent decisions falling due between scheduled meetings of the Board of Governors, and provided always that the Board of Governors has provided its specific authority to do so, a panel of independent Governors may be convened to act with delegated authority of the Board of Governors regarding proposals to	Approval to debt in excess of £10,000,000 to be routed to the Board of Governors via FRC in accordance with its Terms of Reference.

		Final Authority	Delegated Authority (if any)	Delegated limits, Process and Context
			incur debt in excess of £10,000,000. The decision of the panel is to be in accordance with any limits on decisions imposed by the Board of Governors and is to be reported to the next meeting of FRC and the Board of Governors	
		£5,000,000 to £10,000,000: Pro-Chancellor and Chair of Board of Governors and Vice-Chancellor		To be reported to UET and noted within an update paper provided to FRC and the Board of Governors by the Chief Financial Officer.
		Below £5,000,000: Vice-Chancellor		
	Write-off/waiver of debt	Chief Operating Officer and Registrar	Above £20,000: Chief Financial Officer- Above £50 but not exceeding £20,000: Deputy Director of Finance Minor write offs (below £50- Income Manager)	In accordance with the Financial Regulations.
	Approval to issue a Purchase card and the establishment of purchase card limits	Chief Financial Officer	Head of Procurement	The Procurement Team can provide advice on spend limits comparing limits across the University.
	Authorisation for a manually produced cheque exceeding £10,000 or for a computer produced cheque or other electronic means of payment exceeding £25,000 in value	Chief Financial Officer	Deputy Director of Finance	In accordance with the provisions of the Financial Regulations.

		Final Authority	Delegated Authority (if any)	Delegated limits, Process and Context
	Authorisation for a manually produced cheque of up to but not exceeding £10,000 and authorisation of computer produced cheque or other electronic means of payment up to and including £25,000 in value	Chief Financial Officer	Deputy Director of Finance	In accordance with the provisions of the Financial Regulations.
	Withdrawals of cash	Chief Financial Officer: Above £25,000 Deputy Director of Finance: Up to £25,000		In accordance with the provisions of the Financial Regulations
	Authorisation of Petty Cash Account	Deputy Director of Finance		In accordance with the provisions of the Financial Regulations.
	Acceptance of financial donations and endowments	Board of Governors-unlimited	Up to £10m: Vice-Chancellor; Up to £1m: DVC and Provost ; COOR or Chief Financial Officer Up to £100k – Associate Director of Development and Alumni Relations Up to £10k - Head of Alumni Relations and Regular Giving	In accordance with the procedures and rules set out in the Policy on the Acceptance of Philanthropic Gifts and Donations and depending on the context consultation with the Vice-Chancellor should take place before acceptance. In the event that the results of the due diligence undertaken prior to the acceptance of a gift/donation/endowment indicate there is a high risk to the University this will be referred to the ARMC to consider. The Committee will make such recommendations it considers appropriate to the Board of Governors.
	Return of a financial donation/gift or endowment	Board of Governors		The University will not normally return a gift which has been accepted in good faith. Exceptionally, subsequent events or the subsequent availability of additional information may give rise to the need to review a previous decision to accept a gift. A decision to return a substantial gift shall always be a matter for the Board of

		Final Authority	Delegated Authority (if any)	Delegated limits, Process and Context
				Governors on the recommendation of the Vice-Chancellor, having taken appropriate legal advice.
	Approval of student residence fees	UET		Following recommendations from the Chief Operating Officer and Registrar and the Chief Financial Officer.
	Approval of UG student tuition fees	Board of Governors		
	Approval of non-regulated fees and associated scholarships and fee discounts	UET		
	Fee Payment Conditions	UET	Chief Financial Officer	Amendments can be made to the operational detail within the Fee Payment Conditions by the Chief Financial Officer and reported to UET.

		Final Authority	Delegated Authority (if any)	Delegated limits, Process and Context
6	**Establishment of Companies**			
	Establishment of a University subsidiary company	Board of Governors		Directed to the Board of Governors following approval by UET.
	Establishment of University spin-out and "start-up" companies	UET		Proposals to be developed with the support of the Head of Intellectual Property Commercialisation which will then be considered by the Chief Financial Officer as required and recommendations made to UET for approval.
	Approval and signing of agreements to enable spin-out company formation, spin-out company investment or loan agreements, Enterprise Management Incentives (EMI) or related schemes, exits and other related matters to support spin-out operations	UET for exit proposals in excess of £1million where NTU is a decision maker or that require particular consideration, such as a significant potential reputational risk to NTU	Signing of agreements to enable spin-out company formation, investment agreements, Enterprise Management Incentives (EMI) or related schemes, exits and related matters PVC (Research and International) or their delegate agreed and documented on a case by case basis. Executive Dean of School; or Associate Dean for Research or Practice Executive Director Research Knowledge Exchange and Innovation	This should be referred to the Head of Intellectual Property Commercialisation who will review relevant documentation and draft agreements then work with Legal Services or a member of the external panel of legal advisors as required to finalise agreements. Requests for signature should be accompanied by confirmation that the terms are approved by the Head of Intellectual Property Commercialisation together with Legal Services or a member of the external panel of legal advisors.
	Execution of Share Certificates held by the University	Chief Operating Officer and Registrar		Following advice received by the Chief Financial Officer and the University Secretary.

		Final Authority	Delegated Authority (if any)	Delegated limits, Process and Context
7	**Knowledge Exchange, Commercial Services and Related Activity**			
	Approval and signing of publicly-funded Knowledge Exchange and business engagement activity including economic development programmes.	COOR	Executive Director for Research, Knowledge Exchange and Innovation	Advice should be sought from the UK Industry Research Funding Team before developing KE proposals.
	Approval and signing of contracts related to activities that fall outside core University funded teaching and research and typically involve formal participation with external businesses and employers.	COOR	Executive Director for Research, Knowledge Exchange and Innovation	Contractual arrangements should only be entered into after the UK Industry Research Funding Team or Commercial Services Team have been notified of the activity and appropriate financial and legal advice sought. Support for Commercial Services is available on the MyHub pages.
	Approval and signing of tenancy agreements/license to occupy or similar for businesses taking occupancy within the Dryden Enterprise Centre (DEC)	Directors of Nottingham Consultants Limited	Executive Director for Research, Knowledge Exchange and Innovation	Tenancy Agreements/Licenses and similar related to the DEC should only be entered into when these are in the standard form approved by the University or where variations thereto have been approved by the University, in the commercial interests of both itself and Nottingham Consultants Limited.
	Approval and signing of the contract for a commercial activity in a School generating income over £100k	Executive Dean of School.	N/A	The activity is to be approved by the School Executive Team and advice should be sought from Executive Director for Research, Knowledge Exchange and Innovation, the relevant Finance Business Partner and Legal Services before proceeding. Where the contracting party is Nottingham Consultants Limited (NCL) and the agreement is not being executed as a Deed the Directors of NCL delegate the approval and signing of the contract to the Executive Dean of the School.

		Final Authority	Delegated Authority (if any)	Delegated limits, Process and Context
	Approval and signing of the contract of a commercial activity in a School generating income between £15k and £100k	Executive Dean of School.	Deputy Dean of the School; or Associate Dean of Practice for the relevant School.	Advice should be sought from the Knowledge Exchange team, the relevant Finance Business Partner and Legal Services before proceeding. Where the contracting party is Nottingham Consultants Limited (NCL) and the agreement is not being executed as a Deed the Directors of NCL delegate the approval and signing of the contract to the Deputy Dean of the School or the Associate Dean of Practice for the relevant School.
	Approval and signing of the contract of a commercial activity in a School generating income up to £15k	Deputy Dean of the School Associate Dean of Practice for the relevant School.	Relevant Head of Department for the School.	Provided always that the institutional consultancy rates are utilised. Where the contracting party is Nottingham Consultants Limited (NCL) and the agreement is not being executed as a Deed the Directors of NCL delegate the approval and signing of the contract to the Deputy Dean, Associate Dean of Practice for the relevant school, or the Head of Department of the School.
	Approval and signing of a contract for collaborative teaching provision with businesses and external organisations (not HE providers) on a commercial basis where the value exceeds £1 million	UET and Academic Standards and Quality Committee	Signing of the resulting contract by the relevant UET member	Collaborative teaching provision should be approved by the Academic Standards and Quality Committee acting on recommendations from its collaborative provision sub-committee. Approval to the proposals should also be obtained from the Chief Financial Officer and the Deputy Vice-Chancellor and Provost . Advice should be sought from the University Secretary on whether this constitutes an OfS Reportable Event.

		Final Authority	Delegated Authority (if any)	Delegated limits, Process and Context
	Authorisation of a collaborative teaching provision with businesses and external organisations (not HE providers) on a commercial basis where the value is less than £1 million	Executive Dean of the School and Academic Standards and Quality Committee	Signing of the resulting contract by the School Executive Dean	Collaborative teaching provision should be approved by the Academic Standards and Quality Committee. Approval to the proposals should also be obtained from the Chief Financial Officer and the Deputy Vice-Chancellor and Provost Reported to UET for information. Advice should be sought from the University Secretary on whether this constitutes an OfS Reportable Event.
	Approval and signing of Assignments of, or Licenses of NTU-owned Intellectual Property in isolation or as part of a commercial transaction	UET - for proposals in excess of £200K	Signing of the resulting Assignment or License whether this is above or below £200k to be by the PVC (Research and International) or the Executive Director for Research, Knowledge Exchange and Innovation agreed and documented on a case by case basis. Executive Dean of School; or Associate Dean for Research or Practice for proposals below £50k	This should be referred to the Head of Intellectual Property Commercialisation who will then negotiate the Heads of Terms, draft an appropriate agreement and work with colleagues in Legal Services to confirm its suitability. Requests for signature should be accompanied by confirmation that the terms are approved by the Head of Intellectual Property Commercialisation together with Legal Services or a member of the external panel of legal advisors.

		Final Authority	Delegated Authority (if any)	Delegated limits, Process and Context
8	**Capital Projects for Estates and Digital/IT Related Matters**			
	Approval of Capital Projects (including Digital and IT projects and estates related projects including the construction, acquisition, refurbishment and leasing of properties relating to those projects)	<u>Over £10,000,000</u> – Board of Governors	In exceptional circumstances, such as urgent decisions falling between scheduled meetings of the Board of Governors, and provided always that specific authority to do so has been provided by the Board of Governors, a panel of independent Governors may be convened to act with delegated authority of the Board of Governors regarding approval of Capital Projects in excess of £10,000,000. The decision of the panel is to be in accordance with any limits on decisions imposed by the Board of Governors and is to be reported to the next meeting of FRC and the Board of Governors.	A Capital Project in excess of £10,000,000 is automatically classed as a Strategic Initiative and must be considered and approved in the first instance by the Strategic Initiatives Board (SIB). Should the SIB provide approval to a Capital Project in excess of £10,000,000, this must be directed to the Board of Governors via FRC in accordance with its Terms of Reference . Reference should be made to Office for Students regulations where this involves the use of exchequer funded assets or exchequer funds. For contracts executed as a Deed the University seal should be affixed and signatures required from two Governors. For contracts not executed as a Deed signature required from the Vice-Chancellor or the Chief Operating Officer and Registrar.
		<u>£5,000,000 to £10,000,000 –</u> Pro-Chancellor and Chair of Board of Governors and Vice-Chancellor. Provided always that the cost of the capital project is		A Capital Project between £5,000,000 and £10,000,000 is automatically classed as a Strategic Initiative and must be considered and approved in the first instance by the Strategic Initiatives Board (SIB). Should the SIB provide its approval to the project the Vice-Chancellor's and the Pro-Chancellor and Chair of the Board's written approval or otherwise is to be sought

		Final Authority	Delegated Authority (if any)	Delegated limits, Process and Context
		within the capital plan approved by the Board of Governors		following the receipt of advice and guidance from UET and the SIB . Thereafter reported to EUET and FRC for information and included within the Pro Chancellor's report to the Board of Governors at its next meeting.
		£1,000,000-£5,000,000 Vice-Chancellor. Provided always that the cost of the capital project is within the capital plan approved by the Board of Governors.		If a Capital Project between £1,000,000 and £5,000,000 meets the criteria of a Strategic Initiative this must be considered and approved in the first instance by the Strategic Initiatives Board (SIB). The Vice-Chancellor's written approval or otherwise is to be sought following the receipt of advice and guidance from the SIB. Thereafter to be reported to EUET to record the decision of the Vice-Chancellor.
		Below £1,000,000 where this does not meet the criteria for consideration by the SIB Up to £100k can be approved by the Executive Director of Estates and Campus Services or the Executive Director of Libraries and Digital (L&D); Between £100k-£1m can be approved by Chief Operating		

		Final Authority	Delegated Authority (if any)	Delegated limits, Process and Context
		Officer and Registrar (COOR)		
	A project which meets the criteria for consideration by the SIB for reasons other than its financial value	Strategic Initiative Board		If a Capital Project meets the criteria of a Strategic Initiative regardless of its financial value this must be considered and approved by the Strategic Initiatives Board (SIB). Thereafter such projects will be monitored by the Executive Directors for Estates and Campus Services or Libraries and Digital services unless the particular context requires ongoing monitoring and assessment by the SIB.
	Approval of Long Term Maintenance Projects	Chief Operating Officer and Registrar and the Vice-Chancellor irrespective of the value of each individual project.		To be managed by the Executive Director for Estates and Campus Services. The authority granted to the COOR and the Vice-Chancellor is subject to the total expenditure remaining within the Long Term Maintenance envelope set out in the capital budget approved by the Board of Governors.
	Disposal of property and land	Over £10,000,000 – Board of Governors	In exceptional circumstances, such as an urgent decision falling between scheduled meetings of the Board of Governors, and provided always that specific authority to do so has been provided by the Board of Governors, a panel of independent Governors may be convened to act with delegated authority of the Board of Governors regarding approval of the	Approval to the disposal of property and land to be routed to the Board of Governors via UET and FRC in accordance with their Terms of Reference. Consent from the Office for Students may be required if exchequer funds were involved in the acquisition of the asset. For contracts executed as a Deed the University seal should be affixed and signatures required from two Governors.

		Final Authority	Delegated Authority (if any)	Delegated limits, Process and Context
			sale of property and land in excess of £10,000,000. Alternatively this can be approved by the Chair of the Board in circumstances where the Board has provided its in principle approval to proceed with the disposal on the proposed terms. The decision of the panel or the Chair of the Board is to be in accordance with any limits on decisions imposed by the Board of Governors and is to be reported to the next meeting of FRC and the Board of Governors.	
		£5,000,000 to £10,000,000 – Pro-Chancellor and Chair of Board of Governors and Vice-Chancellor		The Vice-Chancellor's approval or otherwise is to be sought following the receipt of advice and guidance from UET . FRC should be appraised of the disposal ahead of its completion and information on it included also within the Pro Chancellor's report to the Board of Governors at its next meeting. Thereafter reported to EUET for information.
		£1,000,000-£5,000,000 Vice-Chancellor		The Vice-Chancellor's approval or otherwise is to be following the receipt of advice and guidance from UET . Thereafter to be reported to EUET for information.

		Final Authority	Delegated Authority (if any)	Delegated limits, Process and Context
				Information on the disposal should be reported to FRC as part of its regular reports on estates matters.
		Below £1,000,000 Up to £100k can be approved by the Executive Director of Estates and Campus Services or the Executive Director of Libraries and Digital; Between £100k-£1m can be approved by Chief Operating Officer and Registrar		Thereafter reported to EUET for information.
	Individual agreements for leasing/licensing of property	Chief Operating Officer and Registrar	Executive Director of Estates and Campus Services	For contracts executed as a Deed the University seal should be affixed and signatures required from two Governors. For contracts not executed as a Deed signature required from the Chief Operating Officer and Registrar or his agreed delegate and documented on a case by case basis Requests for signature should be accompanied by confirmation that the terms have been approved by Legal Services or a member of the external panel of legal advisors.
	Execution of Construction Works Contracts: • Purchase Order (where value is low, there is no design element and the works are low risk for example painting, plastering and works under £50k)	Executive Director of Estates and Campus Services	Nominated colleague	Details of nominated colleague(s) to be recorded locally within the Estates department. No requirement to be executed as a Deed.

		Final Authority	Delegated Authority (if any)	Delegated limits, Process and Context
	• Trade Contract (a value £50k to £250k depending on complexity of works)	Executive Director of Estates and Campus Services	Deputy Director of Estates and Campus Services /or Head of Procurement	No requirement to be executed as a Deed.
	• JCT Minor Works with or without design (A Value >£250k or lower if contractor design elements. Used for medium / high risk and complexity and for design liability. E.g. M&E works, subcontracts with design liability)	Executive Director of Estates and Campus Services	Deputy Director of Estates and Campus Services and/or Head of Procurement	If value is between £250,000 to £500,000 no requirement to be executed as a Deed. If value is above £500,000 execution as a Deed is required. For contracts executed as a Deed the University seal should be affixed and signatures required from two Governors.
	Execution of Consultant Appointments: • Stage 0/1 – Feasibility (Low value <£20k – no design responsibility, low risk early feasibility works)	Executive Director of Estates and Campus Services	Deputy Director of Estates and Campus Services /or Head of Procurement	No requirement to be executed as a Deed
	• Specialist Consultants – all stages (Low value <£20k – no design responsibility e.g. Ecology consultants, planning consultants)	Executive Director of Estates and Campus Services	Deputy Director of Estates and Campus Services and/or Head of Procurement	No requirement to be executed as a Deed
	• All Other Appointments (Consultants with design responsibility through all stages and for Stages 2+)	University Seal required		To be executed as a Deed. For contracts executed as a Deed the University seal should be affixed and signatures required from two Governors. Requests for execution as a Deed should be accompanied by confirmation that the terms have been approved by the Executive Director of Estates and Campus Services and a member of the external panel of legal advisors.

		Final Authority	Delegated Authority (if any)	Delegated limits, Process and Context
9	**Research Matters**			
	Signing of research and grant applications	PVC (Research and International)	• Level 1 (Research Operations) – To ensure compliance with funder requirements. • Level 2 (School Associate Deans for Research) – To formally approve research and grant applications on behalf of School as well as checking quality and strategic fit. • Level 3, Executive Director for Research, Knowledge Exchange and Innovation to formally approve research and grant applications on behalf of NTU – only for bids over £1m.	Requests for signature should be accompanied by confirmation that the funding terms are either in a standard approved form or have been approved by Finance, Legal Services or a member of the external panel of legal advisors.
	Approval and signing of research contracts, agreements and studentships (including those originating in KE)	PVC (Research and International)	• Level 1 (Research Operations) – up to £20k • Level 2 (School Associate Deans for Research) – if cost to NTU + partner costs is > £20k. • Level 3, Executive Director for Research, Knowledge Exchange and Innovation – To formally sign contracts	Local arrangements are in place to govern the respective responsibilities of the NTU Doctoral School and the Research Operations Office and of the Legal Services team in negotiating and approving the terms of such research contracts, agreements and studentships. All contracts must, in addition to any other required approvals, be reviewed and approved by Finance together with Legal Services or a member of the external panel of legal advisors.

		Final Authority	Delegated Authority (if any)	Delegated limits, Process and Context
			on behalf of NTU – only for contracts with a value of over £1m.	
	Approval and signing of Material Transfer Agreements	Executive Director for Research, Knowledge Exchange and Innovation together with the Executive Dean of the School		All contracts must, in addition to any other required approvals, be reviewed and approved Legal Services or a member of the external panel of legal advisors.

		Final Authority	Delegated Authority (if any)	Delegated limits, Process and Context
10	**Other Contracts, Agreements and Licences, Legal Proceedings**			
	Approval and signing of contracts and agreements (including variations thereof) awarded through a procurement process (including waivers) for the purchase of goods or services, consultancy contracts*, software licences or IT agreements and contracts related to or including provisions regarding the use of personal data. *consultancy contracts should be signed by the Head of Procurement in all cases where procurement services colleagues have run the procurement exercise. Copies of the contracts will be retained by the procurement team in a central contract repository.	Up to £100,000 - Head of Procurement Over £100,000 Chief Financial Officer or Chief Operating Officer and Registrar Purchase Requisitions and Orders below the above amounts are to be in accordance with the Requisitions and Order Authorisation Limits	In accordance with the Procurement Policy and the University's Financial Regulations	The Procurement Act 2023 thresholds are currently £207,720 including VAT for supplies and services and £5,336,937 including VAT for works. These are updated biennially by UK Government. Depending on subject matter, prior approval to the terms of the contract must be sought from the Director of Libraries and Digital Technologies. Depending on subject matter, prior approval may be required by the Strategic Initiative Board to be obtained in accordance with its Terms of Reference. Legal Services should be consulted on the terms and conditions of contract to be included within the tender documentation. Should the contract involve personal data then the prior approval of the Data Protection Officer must be obtained and a Data Protection Impact Assessment completed ahead of contract signature.
	Approval and signing of contracts * (including variations thereof) (where not subject to a procurement process or otherwise specified in this Scheme of Delegation). * this section is intended to cover contracts such as collaboration agreements/consortium agreements/partnership agreements and similar. It is not intended to apply to contracts where there is any element of a procurement, including waiver, process.	UET member with lead responsibility for the particular area	Executive Deans or Executive Director of Professional Service area as appropriate	Legal Services should be consulted on the terms and conditions of contract. Should the contract involve personal data then the prior approval of the Data Protection Officer must be obtained and a Data Protection Impact Assessment completed ahead of contract signature.

		Final Authority	Delegated Authority (if any)	Delegated limits, Process and Context
	*Approval for international related contracts not otherwise covered within section 4 of this Scheme of Delegation are also covered by this section	Pro Vice-Chancellor (Research and International)	Executive Dean for Research and International Reputation	NTU Global is to be consulted on international proposals and will manage the business evaluation process leading to their approval or otherwise. Copies of the completed and signed contracts should be retained by the signatory and a copy forwarded to legal services for noting.
	Approval and signing of Employment-related contracts (including settlement agreements, confidentiality agreements)	Chief People Officer	Associate Directors of HR	In accordance with the separate guidance regarding the use of Settlement Agreements. To be supported by legal advice as required. A summary of Settlement agreements is reported annually to the Remuneration Committee.
	Approval and signing of Confidentiality Agreements (not within the scope of employment related contracts)	Executive Dean of the School or Executive Director of relevant Professional Service as appropriate	For Schools: Deputy Dean	All contracts must, be reviewed and approved by Legal Services
	Approval and signing of Memorandum of Understandings (MOUs)- International	Vice-Chancellor	Pro Vice-Chancellor (Research and International) Executive Dean for Research and International Reputation for MOUs with international partners	Copies of completed MOUs should be forwarded to Legal Services for retention. NTU Global is to be consulted on international MOU proposals.
	Approval and signing of Memorandum of Understandings (MOUs) - UK based	Vice-Chancellor	Executive Dean of relevant School	

		Final Authority	Delegated Authority (if any)	Delegated limits, Process and Context
	Approval and signing of Strategic Partnerships, Compact Agreements and similar high level relationship agreements with businesses and employers	Vice-Chancellor	Deputy Vice-Chancellor and Provost	To be discussed at School Executive Team meetings and reported to UET for information.
	Approval of Freedom of Information Requests	University Secretary, subject to the caveats noted in the context column.		Advice and approval to be sought from the Chief Operating Officer and Registrar and the Vice-Chancellor for press related FOI requests or requests containing sensitive data. The Press Office to be consulted on all FOI requests from journalists.
	Approval and signature of all data protection related agreements.	Data Protection Officer		Specific responsibilities of the Data Protection Officer cannot be delegated
	Approval to the issue of legal proceedings by the University	University Secretary		Provided this has been discussed in advance with the COOR and UET.
	Appointment of External Legal Advisors to the panel of advisors	University Secretary		The Chief People Officer or the Associate Directors of HR are able to directly seek employment related legal advice on individual matters. The Executive Director of Estates and Campus Services is able to do so for estates related legal advice. The Chief Financial Officer or Deputy Director of Finance are able to so for finance related legal advice. The costs for such advice are to be covered from within the respective budget areas. Instructions for external legal advice is to be taken from the competitively appointed panel of legal advisors. Should the panel not be able to provide the advice required then the University Secretary may obtain a quote from an alternative provider.

Rebecca Jenkyn
University Secretary
September 2026